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DANAMRAJ & YOUST, P.C.

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August 28, 2006

Via Facsimile 571.273.8300

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Re: Serial No.: 09/663,151
Method and System for Executing Trades in a User Preferred Security
Examiner: Narayanswamy Subramanian
Art Unit: 3624
Attorney Docket No.: 1302-1001

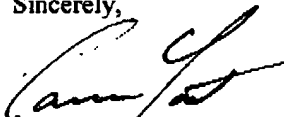
Dear Sir:

Enclosed for filing please find the following items (3 + 1 pages) relating to the above-identified application:

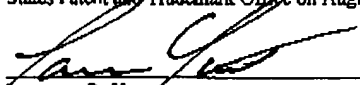
- (1) Response to Interview Summary (3 pages).

If you have any questions or comments concerning this matter, please call the undersigned at your earliest convenience. Otherwise, please accept the enclosed.

Sincerely,


Lawrence R. Youst
Reg. No. 38,795

Enclosures

<p>Certificate of Transmission Under 37 C.F.R. §1.8</p> <p>I hereby certify that this correspondence is being transmitted by facsimile to the United States Patent and Trademark Office on August 28, 2006.</p> <p> Lawrence R. Youst</p>

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Attorney Docket No. 1302-1001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Bradley J. Swearingen et al.
Serial No.: 09/663,151
Filed: September 15, 2000
Art Unit: 3624
Examiner: Narayanswamy Subramanian
For: Method and System for Executing Trades
in a User Preferred Security

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Response to Interview Summary

Dear Sir:

This is a response to the Interview Summary relating to the oral interview on August 9, 2006 between the Examiner and my associate, Kenneth Emanuelson (Reg. No. 46,684).

REMARKS

In our prior communication dated August 18, 2006, Applicant noted with disapproval the Examiner's general approach to "examination" of this case, in which little regard has been paid to the details of this case or the rules or procedures of the United States Patent and Trademark Office. The Examiner's Interview Summary is, unfortunately, fully consistent with his general lack of professionalism.

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The Interview Summary asserts that an oral interview was conducted on August 9, 2006 between the Examiner and Lawrence Youst, but no such interview ever occurred. The interview to which the Examiner refers was between the Examiner and my associate, Kenneth Emanuelson. The Examiner claims to accurately record the contents of the conversation, and yet he does not even correctly recall the name of the person to whom he spoke.

Unfortunately, the identity of the person to whom Mr. Subramanian spoke is not the only error he made. The Examiner's Interview Summary claims that no agreement was reached in the course of the interview. It is my understanding that an agreement was, in fact, reached during the course of the oral interview. It is further my understanding, based upon my conversations with Mr. Emanuelson, that the Examiner agreed to withdraw the outstanding non-responsiveness and 112 rejections and substantively examine claims 67-114 if Applicant could demonstrate that claims 67-114, presently objected to by the Examiner, cover the same invention as earlier claims 1-66. Applicant finds it unfortunate that the Examiner feels compelled to engage in this sort of revisionist history.

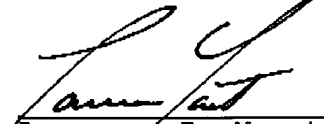
Acting in reliance on the Examiner's representations, Applicant thoroughly demonstrated in the response dated August 18, 2006 that claims 67-114 do, in fact, cover the same invention as previously filed claims 1-66. Apparently, the Examiner does not feel compelled to comply with the substance of the agreement reached during the interview. Again, Applicant considers this

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situation unfortunate, but is fully prepared to file, upon receipt of the Examiner's next formal action, a petition or appeal, as necessary to receive the substantive examination to which our client is fully entitled under the law, regulations and procedures of the U.S. Patent and Trademark Office.

Dated this 28th day of August, 2006.

Respectfully submitted:



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